

IARD

ADV Part 2 - Firm User

Part 2 is the section of Form ADV that contains information about Investment Adviser firms and the type of business they conduct. Firms are required to provide Part 2 of Form ADV to existing and prospective clients. All SEC-registered and some state-registered Investment Adviser firms are required to submit Part 2 of Form ADV online through the IARD™ system. A firm that offers substantially different types of advisory services has the option to prepare separate brochures for each service, as long as, each client receives all information about the services and fees that are applicable to that client.

For purposes of the IARD system, Part 2 of the Form ADV is referred to as the "Brochure." The document must be converted to a text-searchable, PDF file before submission to the IARD system. Access IARD at <https://crd.finra.org/iad>.

This navigation guide provides instructions on how to:

- Submit Part 2 of Form ADV
- Amend, Retire, and Confirm a Brochure
- View Brochure Status
- View Brochure Filing History
- Perform a Brochure Search

Submitting a Brochure

1. From the **Forms** section of the IARD Site Map, click the appropriate Form ADV filing type. (e.g., Submit an other-than-annual amendment to your registration).

NOTE: The ADV Part 2 Guidance section contains links to IARD system instructions on www.iard.com and filing guidance pages on www.nasaa.org and www.sec.gov.

Select ADV Filing		ADV - New Filing
<input checked="" type="checkbox"/> New Filing		Existing registrants click here for important information regarding your first IARD filing.
<input type="checkbox"/> Pending Filing		Transition:
<input type="checkbox"/> Historical Filing		Submit Transition Notice Filings
		Submit Transition Registrations
ADV Filing Types:		
Apply for registration as an investment adviser with the SEC		
Apply for registration as an investment adviser with one or more states		
Submit an annual updating amendment to your registration for your fiscal year ended December , <input type="text"/>		
Submit an other-than-annual amendment to your registration		
ADV Part 2 Guidance:		

**Questions on IARD? Call the IARD Hotline at 240 386-4848
8 A.M. - 8 P.M., ET, Monday through Friday**

2. Click on the **Part 2** hyperlink in the navigation panel to display the *Part 2 Brochure Filing* screen.
3. Click **Create New Brochure**.

Submission

- Completeness Check
- Submit Filing
- Print Preview

Form ADV - Part 2

- IARD System Instructions
- State-Registered Adviser Guidance
- SEC-Registered Adviser Guidance
- **Part 2**
- Return To Form ADV, Part 1

SECURITIES FIRM **Reference #:**84191241735AD07

Please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun.

Amend, retire or file new brochures:

Create New Brochure

Next Save Reset Previous

4. Complete the following required fields:
 - Brochure Name
 - Brochure Types
5. Click **Save**.
6. Click **Part 2** from the navigation panel.

Submission

- Completeness Check
- Submit Filing
- Print Preview

Form ADV - Part 2

- IARD System Instructions
- State-Registered Adviser Guidance
- SEC-Registered Adviser Guidance
- **Part 2**
- Return To Form ADV, Part 1

SECURITIES FIRM **Reference #:**84191241735AD07

Complete and save the information below in order to add a brochure as part of this filing (please note that ADV Part 2 brochures are uploaded to IARD after the Form ADV Submit Filing process is begun).

New Brochure

Brochure ID:

Brochure Name:

Brochure Description:

Brochure Types (Select all that apply):

<input type="checkbox"/> Individuals	<input type="checkbox"/> High net worth individuals
<input type="checkbox"/> Pension plans/profit sharing plans	<input type="checkbox"/> Pension consulting
<input type="checkbox"/> Foundations/charities	<input type="checkbox"/> Government/municipal
<input type="checkbox"/> Other institutional	<input type="checkbox"/> Private funds or pools
<input type="checkbox"/> Wrap program	<input type="checkbox"/> Financial Planning Services
<input type="checkbox"/> Selection of Other Advisers/Solicitors	
<input type="checkbox"/> Other	

Save **Reset**

NOTE: If **Other** is selected as the Brochure Type, a text box displays, prompting you to specify the brochure type. Also, after clicking **Save**, an additional pop-up message will display if the firm does not have a brochure in the IARD system to clarify when brochures are attached and processed as part of the filing.

Prior to submission, firm users have the option to delete a new brochure by selecting the **Delete** hyperlink and then clicking **OK** when the following message displays: "Are you sure you want to delete this brochure?"

7. Click **Submit Filing** from the navigation panel.

Submission

- Completeness Check
- **Submit Filing**
- Print Preview

Form ADV - Part 2

- IARD System Instructions
- State-Registered Adviser Guidance
- SEC-Registered Adviser Guidance
- **Part 2**
- Return To Form ADV, Part 1

SECURITIES FIRM Reference #:911059063952A3C

Part 2 Brochure Filing

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire	Action
-	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input type="radio"/>	New Delete

[Create New Brochure](#)

[Previous](#) [Save](#) [Next](#) [Reset](#)

NOTE: The **Update/Retire** radio buttons are only available for brochures previously submitted.

All Completeness Check Errors must be cleared prior to submission.

Submission

- Completeness Check
- **Submit Filing**
- Print Preview

Form ADV

- Instructions
- Item 1 Identifying Information
- Item 2 SEC Registration
- Item 3 Form of Organization
- Item 4 Successions
- Item 5 Information

SECURITIES FIRM Reference #:911059063952A3C

Submit Filing

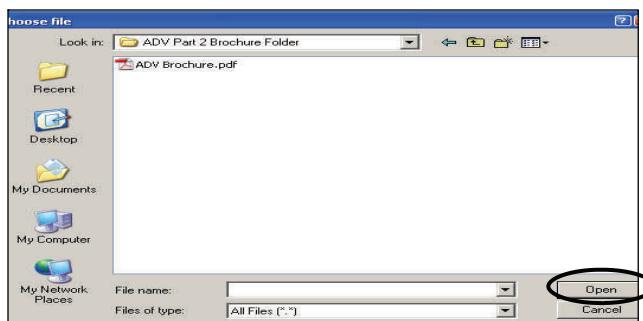
This filing cannot be submitted, due to the following completeness errors:

Error Location	Error Description
Domestic Investment Adviser Execution	Domestic Execution must be completed

8. From the **Submission** screen, click **Browse** to locate the brochure on your computer. The **Submission** screen will only display once all completeness checks have been passed.

The screenshot shows the 'Submission' screen of the ADV Part 2 system. On the left, there are two vertical menus: 'Submission' (Completeness Check, Submit Filing, Print Preview) and 'Form ADV' (Instructions, Item 1 Identifying Information, Item 2 SEC Registration, Item 3 Form of Organization, Item 4 Successions, Item 5 Information About Your Advisory Business - Employees, Clients, and Compensation, Item 5 Information About Your Advisory Business - Assets Under Management, Item 5 Information About Your Advisory). At the top right, there are links for 'Printer Friendly' and a reference number 'Reference #:910490962152A3B'. Below the menu, a message box displays three yellow warning icons: 'Please double-check the contact employee information you have provided in Item 1.J., especially the contact employee e-mail address, to ensure that it is current. You are required to amend this information promptly if it becomes inaccurate in any way.', 'One or more individual names have changed since your last filing.', and 'Reminder: Passing a completeness check does not relieve an investment adviser of its legal and regulatory obligation to file accurate and complete information in a timely manner with the appropriate authorities.' The main content area is titled 'SECURITIES FIRM' and 'Submit Filing'. It shows a success message 'ADV on-line completeness checks passed successfully.' and a note 'There are no Accounting Charges for this Filing.' A 'Part 2 Brochures:' section is present, and a 'BROCHURE UPLOAD' table shows one entry: ADV PART II BROCHURE, Type(s): Individuals, Action: New, and a 'Browse...' button circled in red. A 'Submit Filing' button is at the bottom.

9. Select the appropriate brochure and click **Open**. Once a Brochure is submitted to the IARD system, it will be made available to the public via the IAPD system; therefore, users should ensure they are attaching the correct file prior to submission.



After the upload is complete, the File name field is populated with the location of the brochure, as shown on the screen below.

10. Click **Submit Filing**.

The screenshot shows the 'Submission' screen again. The 'BROCHURE UPLOAD' table now shows the brochure has been uploaded: 'C:\Documents and Settings\Desktop\ADV Brochure.pdf'. The 'Submit Filing' button is circled in red.

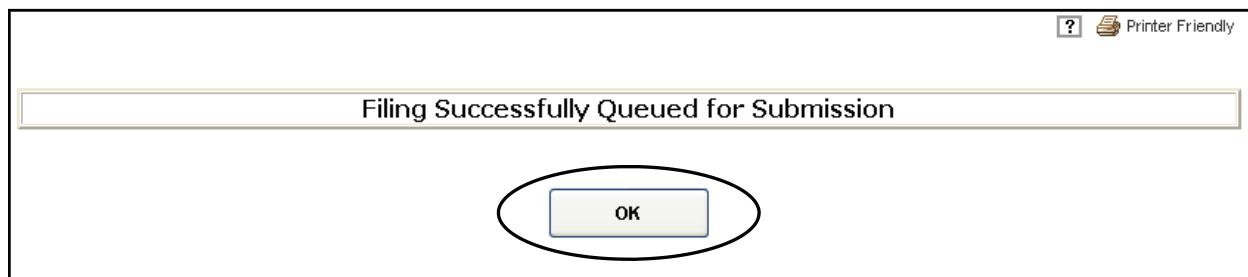
The following warning message displays after the Submit Filing button has been clicked:



11. Click **OK**.

A screen displays, notifying the user that the filing has been queued for submission.

12. Click **OK**.



Brochures must be in PDF format and must be text-searchable. If the file does not meet this requirement, the following error message displays.

SECURITIES FIRM		Reference #:911490288152A3F		
Submit Filing				
ADV on-line completeness checks passed successfully.				
There are no Accounting Charges for this Filing.				
Part 2 Brochures:				
PROBLEMS ENCOUNTERED DURING BROCHURE UPLOAD				
Brochure Name	Error Description			
ADV PART II BROCHURE	This brochure does not contain searchable text. The IARD does not accept files that are imaged in their entirety, such as a file containing a scanned version of a paper brochure			
BROCHURE UPLOAD				
Brochure ID	Brochure Name	Brochure Type(s)	Action	Filename
-	ADV PART II BROCHURE	Individuals	New	<input type="text"/> <input type="button" value="Browse..."/>
Submit Filing				

Amending a Brochure

The Amend brochure option allows a firm to update their Brochure Name, Brochure Description, and/or Brochure Type for a brochure that is already on file. Prior to submission, the firm will be able to upload the updated version of the brochure.

To amend a brochure complete the following steps:

1. Access the appropriate ADV filing (e.g., Other than Annual Amendment).
2. Click **Part 2** hyperlink from the navigation panel.
3. Click the **Update** Radio button.
4. If applicable, click the appropriate **Brochure Name** hyperlink to amend the Brochure Name, Brochure Type and/or Brochure Description.

The screenshot shows the FINRA ADV Part 2 Brochure Filing page. On the left, there's a sidebar with 'Submission' and 'Form ADV - Part 2' sections. The 'Part 2' link in the sidebar is circled in red. The main area has a header 'SECURITIES FIRM' and 'Part 2 Brochure Filing'. A message says 'The information was saved.' and 'Reference #:911768946452A41'. Below is a table titled 'Amend, retire or file new brochures:' with columns: Brochure ID, Brochure Name, Brochure Type(s), Update, Retire, Action, and a blank column. Three rows are listed: 9369 (ADV PART II BROCHURE), 9370 (PENSION BROCHURE), and 9371 (HIGH NET WORTH BROCHURE). The 'Update' radio button for row 9371 is circled in red. At the bottom are 'Create New Brochure', 'Previous', 'Save', 'Next', and 'Reset' buttons.

Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire	Action	
9369	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input type="radio"/>	No Change	
9370	PENSION BROCHURE	Pension consulting	<input type="radio"/>	<input type="radio"/>	No Change	
9371	HIGH NET WORTH BROCHURE	High net worth individuals	<input checked="" type="radio"/>	<input type="radio"/>	Amend Cancel	

4. Enter the updated information.
5. Click **Save**.
6. Attach and submit the latest version of the brochure. Refer to the Submitting a Brochure section on page 1 for steps on how to attach a brochure and submit a Part 2 filing.

NOTE: The Update radio button is automatically selected once the Brochure information is updated and saved.

Prior to submission, firm users have the option to cancel an amendment to a brochure by selecting the **Cancel** hyperlink and then clicking **Save** when the following message displays: "Are you sure you want to cancel this brochure edit?" Click the **Brochure ID** hyperlink to view the latest version of the brochure.

Retiring a Brochure

For firms with multiple brochures on file, the **Retire** brochure option allows a firm to retire brochures describing advisory services that are no longer offered to clients. If a firm has a single brochure, updates must be made by amending the brochure as described on page 6.

1. Access the appropriate ADV filing (e.g., Other than Annual Amendment).
2. Click the **Part 2** hyperlink from the navigation panel.
3. Click the **Retire** radio button associated with the brochure you wish to retire.

The screenshot shows a web-based application interface for managing firm brochures. On the left, a sidebar lists 'Submission' options like Completeness Check, Submit Filing, and Print Preview, followed by 'Form ADV - Part 2' options including IARD System Instructions, State-Registered Adviser Guidance, SEC-Registered Adviser Guidance, Part 2, and Return To Form ADV, Part 1. The main content area is titled 'SECURITIES FIRM' and 'Part 2 Brochure Filing'. A message at the top right says 'The information was saved.' with a reference number 'Reference #:922894876152A42'. Below this, a table lists three brochures for amendment or retirement:

Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire	Action
9369	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input checked="" type="radio"/>	No Change
9371	HIGH NET WORTH BROCHURE	High net worth individuals	<input type="radio"/>	<input checked="" type="radio"/>	No Change
9370	PENSION BROCHURE	Pension consulting	<input type="radio"/>	<input checked="" type="radio"/>	Retire

At the bottom of the table is a 'Create New Brochure' button. Navigation buttons for Previous, Save, Next, and Reset are located at the very bottom of the page.

4. Click **Save**.
5. Submit Form ADV Filing.

Prior to submission, firm users have the option to cancel a request to retire a brochure by selecting the **Cancel** hyperlink and then clicking **Save** when the following message displays: "Are you sure you want to cancel this brochure edit?"

NOTE: The IARD system will not allow you to retire all of your firm's brochures or the last brochure on file on a Form ADV filing. The system will retire all brochures on file for your firm upon submission of a Form ADV-W filing.

Confirming a Brochure

The Confirm brochure option is only available when a firm files its Annual Amendment. This allows the firm to confirm that the brochures on file are still current without having to upload a new version. Upon submission of the filing , the system will not prompt the firm to upload a new version of the brochure.

1. Access the appropriate ADV filing (e.g., Annual Amendment).
2. Click the **Part 2** hyperlink from the navigation panel.
3. Verify that the brochure on file is up to date. Clicking the **Brochure ID** hyperlink associated with the specific brochure to review the current version.

4. Select the **Confirm** radio button.

The information was saved.
Reference #:923435916152A43

SECURITIES FIRM
Part 2 Brochure Filing

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)	Update	Retire	Confirm	Action
9370	PENSION BROCHURE	Pension consulting	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	No Change
9371	HIGH NET WORTH BROCHURE	High net worth individuals	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	No Change
9369	ADV PART II BROCHURE	Individuals	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Confirm Cancel

[Create New Brochure](#)

[Previous](#) [Save](#) [Next](#) [Reset](#)

5. Click **Save**.

6. Submit Form ADV Filing.

Viewing a Brochure Status

There are 2 ways to access Brochure Status information:

1. From the Organization section of the IARD Site Map, click **Brochure Status**.

OR

1. Click on the **Organization** tab on the toolbar.

User: [Org](#)

CRD Main | IARD Main | Forms | Organization | Accounting | Reports |
Site Map | User Info |

IARD Main	Forms	Organization	Accounting
FAQ Release Notes Recommended Hardware/Software Send Comments	New Filing Pending Filing Historical Filing	View Organization Brochure Search Identifying Information Registration Status Notice Filing Status Brochure Status	Daily Account Information Processed Transactions Funds Deficient Transactions Account Activity Summary Deposit Detail Transfer Detail Transaction Detail Bill Line Search
Admin Tools Change Password/Change Account Profile	New Filing Pending Filing Historical Filing	Answers to Questions Form of Organization Business Information Assets Under Management Client Transactions Direct Owners / Executive Officers Indirect Owners Other Business Names	Renewal Account Information Renewal Statement Account Activity Summary Deposit Detail Transfer Detail

User: [Organization](#) [Logout](#)

CRD Main | IARD Main | Forms | **Organization** | Accounting | Reports |
| View Org | Non-Filing Info | Firm Queues |

- 1b. Click the **Brochure Status** hyperlink from the navigation panel.

User: [Organization](#) [Logout](#)

CRD Main | IARD Main | Forms | Organization | Accounting | Reports |
| View Org | Non-Filing Info | Firm Queues |

View Organization

- Identifying Information
- Registration Status
- Notice Filing Status
- Brochure Status**
- Answers to Questions
- Form of Organization
- Business Information
- Assets Under Management
- Client Transactions
- Direct Owners / Executive Officers

2. Click the **Brochure Name** hyperlink to view Brochure Jurisdiction Status.

The screenshot shows the 'Brochure Status' section of the ADV Part 2 system. On the left, a sidebar lists various organization-related categories. The main area displays the following information:

Organization CRD#:		0000	Primary Business Name: SECURITIES FIRM		
Organization SEC#:			Full Legal Name: SECURITIES FIRM		
			Electronic Filer		
Brochure ID	Brochure Name	Brochure Type(s)	Last Change Date	Brochure Filing Status	Last Version Number
9369	ADV PART II BROCHURE	Individuals	07/17/2008	New	1
9370	PENSION BROCHURE	Pension consulting	07/17/2008	New	1
9371	HIGH NET WORTH BROCHURE	High net worth individuals	07/17/2008	New	1

3. Click the **Jurisdiction** hyperlink to view the Brochure Jurisdiction Status history.

The screenshot shows the 'Brochure Jurisdiction Status' section. The sidebar and organization details are identical to the previous screen. The main area displays the following jurisdiction history:

Jurisdiction	Current Brochure Jurisdiction Status	Status Effective Date
California	Accepted	07/18/2005
Tennessee	Delivered	07/17/2005

The *Brochure Jurisdiction Status History* screen displays.

The screenshot shows the 'Brochure Jurisdiction Status History' section. The sidebar and organization details are identical to the previous screens. The main area displays the following detailed jurisdiction history:

Version	Status Effective Date	Brochure Jurisdiction Status
1	07/18/2008	Accepted
1	07/17/2008	No Status

Viewing a Brochure Filing History

There are 2 ways to access Brochure Filing History information:

- From the Organization section of the IARD Site Map, click the **Brochure Filing History** hyperlink.

OR

- Click the **Organization** tab on the toolbar.

The screenshot shows the FINRA IARD Site Map. In the center, under the 'Organization' tab, there is a list of links. The 'Brochure Filing History' link is circled in red.

The screenshot shows the FINRA IARD Site Map with the 'Organization' tab selected. The 'Brochure Filing History' link is circled in red.

- Click the **Brochure Filing History** hyperlink from the navigation panel

The screenshot shows the FINRA IARD Site Map with the 'View Organization' panel open. The 'Brochure Filing History' link is circled in red.

- Click the **Brochure Name** hyperlink to view the *Brochure Filing History Detail* screen.

The screenshot shows the 'Brochure Filing History' detail screen. On the left, there is a sidebar with a 'View Organization' section. In the main area, there is a table with three rows. The first row's 'Brochure Name' column contains the link 'ADV PART II BROCHURE', which is circled in red.

Brochure ID	Brochure Name	Brochure Type	Last Filing Date	Last Version Number
9369	ADV PART II BROCHURE	Individuals	07/18/2008	3
9370	PENSION BROCHURE	Pension consulting	07/17/2008	1
9371	HIGH NET WORTH BROCHURE	High net worth individuals	07/17/2008	1

TIP: Click on the **Version Number** hyperlink to view the PDF version of the brochure.

View Organization		Brochure Filing History Detail																												
<ul style="list-style-type: none"> ▪ Identifying Information ▪ Registration Status ▪ Notice Filing Status ▪ Brochure Status ▪ Answers to Questions ▪ Form of Organization ▪ Business Information ▪ Assets Under Management ▪ Client Transactions ▪ Direct Owners / Executive Officers ▪ Indirect Owners ▪ Other Business Names ▪ Name Change History 		<p>Organization CRD#: 0000 Primary Business Name: SECURITIES FIRM Organization SEC#: Full Legal Name: SECURITIES FIRM View BD Record Electronic Filer</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Brochure ID:</td> <td>9369</td> </tr> <tr> <td>Brochure Name:</td> <td>ADV PART II BROCHURE</td> </tr> <tr> <td>Brochure Type(s):</td> <td>Individuals</td> </tr> <tr> <td>Current Brochure Filing Status:</td> <td>Amended</td> </tr> <tr> <td colspan="2">Filing Date Filing ID Form ADV Filing Type Brochure Status on Filing Version Number</td> </tr> <tr> <td>07/18/2008</td> <td>338501</td> <td>Amendment</td> <td>Amended</td> <td>3</td> </tr> <tr> <td>04/01/2008</td> <td>338500</td> <td>Amendment</td> <td>Amended</td> <td>2</td> </tr> <tr> <td>02/15/2008</td> <td>338494</td> <td>Amendment</td> <td>New</td> <td>1</td> </tr> </table>				Brochure ID:	9369	Brochure Name:	ADV PART II BROCHURE	Brochure Type(s):	Individuals	Current Brochure Filing Status:	Amended	Filing Date Filing ID Form ADV Filing Type Brochure Status on Filing Version Number		07/18/2008	338501	Amendment	Amended	3	04/01/2008	338500	Amendment	Amended	2	02/15/2008	338494	Amendment	New	1
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04/01/2008	338500	Amendment	Amended	2																										
02/15/2008	338494	Amendment	New	1																										

Performing a Brochure Search

The Brochure Search functionality allows a firm to search for text within the brochure submitted by the firm. The metadata (Brochure Name and Brochure Description) is not included in the search.

1. From the Organization section of the IARD Site Map, click the **Brochure Search** hyperlink.

 User: Organization: LOGOUT																																																												
CRD Main IARD Main Forms Organization Accounting Reports																																																												
Site Map User Info																																																												
IARD Main Forms Organization Accounting Reports																																																												
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">IARD Main</th> <th colspan="2">Forms</th> <th colspan="1">Organization</th> <th colspan="1">Accounting</th> <th colspan="1">Reports</th> </tr> </thead> <tbody> <tr> <td colspan="2">User Info</td> <td colspan="2">ADV</td> <td>View Organization</td> <td>Daily Account Information</td> <td>Home</td> </tr> <tr> <td colspan="2">Broadcast Messages</td> <td colspan="2">New Filing</td> <td>Brochure Search</td> <td>Processed Transactions</td> <td>Request Report</td> </tr> <tr> <td colspan="2">FAQ</td> <td colspan="2">Pending Filing</td> <td>Identifying Information</td> <td>Funds Deficient Transactions</td> <td>View Report</td> </tr> <tr> <td colspan="2">Release Notes</td> <td colspan="2">Historical Filing</td> <td>Registration Status</td> <td>Account Activity Summary</td> <td></td> </tr> <tr> <td colspan="2">Recommended Hardware/Software</td> <td colspan="2">ADV-W</td> <td>Notice Filing Status</td> <td>Deposit Detail</td> <td></td> </tr> <tr> <td colspan="2"></td> <td colspan="2">New Filing</td> <td>Brochure Status</td> <td>Transfer Detail</td> <td></td> </tr> <tr> <td colspan="2">Send Comments...</td> <td colspan="2">Pending Filing...</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					IARD Main		Forms		Organization	Accounting	Reports	User Info		ADV		View Organization	Daily Account Information	Home	Broadcast Messages		New Filing		Brochure Search	Processed Transactions	Request Report	FAQ		Pending Filing		Identifying Information	Funds Deficient Transactions	View Report	Release Notes		Historical Filing		Registration Status	Account Activity Summary		Recommended Hardware/Software		ADV-W		Notice Filing Status	Deposit Detail				New Filing		Brochure Status	Transfer Detail		Send Comments...		Pending Filing...				
IARD Main		Forms		Organization	Accounting	Reports																																																						
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FAQ		Pending Filing		Identifying Information	Funds Deficient Transactions	View Report																																																						
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		New Filing		Brochure Status	Transfer Detail																																																							
Send Comments...		Pending Filing...																																																										

2. Enter search criteria.
3. Click **Search**.

Brochure Search

Search: [Search tips](#)

Advanced Search:

Date Range:
After:
Before:

Miscellaneous:
 Include most recent brochures only

Brochure Type (Select all that apply):

<input type="checkbox"/> Individuals	<input type="checkbox"/> High net worth individuals
<input type="checkbox"/> Pension plans/profit sharing plans	<input type="checkbox"/> Pension consulting
<input type="checkbox"/> Foundations/charities	<input type="checkbox"/> Government/municipal
<input type="checkbox"/> Other institutional	<input type="checkbox"/> Private funds or pools
<input type="checkbox"/> Wrap program	<input type="checkbox"/> Financial Planning Services
<input type="checkbox"/> Selection of Other Advisers/Solicitors	<input type="checkbox"/> Other

[Search](#) [Reset](#)

The *Brochure Search Results* screen displays.

Organization Search **Brochure Search Results**

Search string Part II
used:

Brochure ID	Brochure Name	Organization Name	Organization CRD#	SEC #	Brochure Version	Brochure Filing Status	RANK
9369	ADV PART II BROCHURE	SECURITIES FIRM	0000	<u>1</u>	Amended	65%	
9371	HIGH NET WORTH BROCHURE	SECURITIES FIRM	0000	<u>1</u>	New	65%	
9370	PENSION BROCHURE	SECURITIES FIRM	0000	<u>1</u>	New	65%	

<< Previous Next >>
Page 1 of 1

<< Previous Next >>
Page 1 of 1

NOTE: Users can view the PDF brochure by clicking the Brochure Version hyperlink. To find specific text within the brochure perform a text search within the document.

Additional Resources

Snapshot – IA Firm Report

Part 2 information was added to the Snapshot - IA Firm report. Firm users will be able to include or exclude ADV Part 2 information in the report parameters.